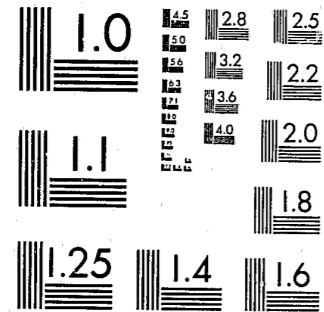


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ANNUAL REPORT



1976

Adult Probation Department
Superior Court Maricopa County

81125

ANNUAL REPORT
1976

ADULT PROBATION DEPARTMENT
SUPERIOR COURT MARICOPA COUNTY

Henry C. Duffie, Chief

U.S. Department of Justice 81125
National Institute of Justice

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Honorable Robert C. Broomfield
PRESIDING JUDGE
SUPERIOR COURT MARICOPA COUNTY



Honorable Roger G. Strand
PRESIDING CRIMINAL JUDGE
SUPERIOR COURT MARICOPA COUNTY

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January 26, 1977

Honorable Robert C. Broomfield
Presiding Judge
Maricopa County Superior Court
101 West Jefferson
Phoenix, AZ 85003

Dear Judge Broomfield:

In 1976 the Adult Probation Department continued to work toward the singular goal of providing the Superior Court of Maricopa County the highest levels and quality of services available. The entire staff of the department is committed to this end, and is cognizant of the enormous responsibilities of our tasks and the requirement of diligent and responsible pursuits of fairness and justice.

The 1976 Annual Report has been prepared to indicate and reflect the responsibilities and duties, as well as the activities of the men and women of the department, and to provide comparisons in many instances with preceding years. At the outset of the year, departmental goals for 1976 were formulated with input from all levels of staff and these goals will be reviewed and evaluated in this report. It is significant to note that the goals were developed, in part, to provide direction in the efforts to expedite, expand, and improve probation services in a situation with increasing workload demands at all staff levels but with no additional personnel provided. The Annual Report then provides an encapsulated view of the activities of the Adult Probation Department during 1976 and, in my opinion, evidences the concerted efforts of the staff to truly provide the courts and the community with the best probation services available.

I would like to extend my sincere, personal appreciation to all of the Judges of the Superior Court of Maricopa County for their continued support of the department, and to offer my pledge to continue to strive for excellence in the services provided to the court. I would also like to thank Judge Strand, Judge Rose, and yourself for your individual guidance, support, and directions.

In closing I would wish to reaffirm the commitment of our entire department to the principles of justice and fairness, and to pledge to continue to work toward these goals.

Sincerely,


Henry C. Duffie, Chief
Adult Probation Officer

HCD:djo

Authority for Probation

In granting of probation, the court exercises the discretion expressly vested in the Arizona Revised Statutes. The authority for the granting of probation is as follows.

A.R.S.

13-1657. Suspending imposition or execution of sentence; revocation and termination of probation; discharge

- A. If it appears that there are circumstances in mitigation of the punishment, or that the ends of justice will be subserved thereby, the court may, in its discretion, place the defendant upon probation in the manner following.
1. The court may suspend the imposing of sentence and may direct that the suspension continue for such period of time, not exceeding the maximum term of sentence which may be imposed, and upon such terms and conditions as the court determines, and shall place such person on probation, under the charge and supervision of the probation officer of the court during such suspension. The conditions imposed may include incarceration in the county jail for a specified period not to exceed one year, or a fine not exceeding the amount of fine authorized for the offense.
 2. If the sentence is to pay a fine, and the defendant is imprisoned until the fine is paid, the court, upon imposing sentence, may direct that the execution of the sentence of imprisonment be suspended for such a period of time, not exceeding the maximum term of sentence which may be imposed and on such terms as it determines, and shall place the defendant on probation, under the charge and supervision of the probation officer during such suspension, for the purpose of giving the defendant an opportunity to pay the fine. Upon payment of the fine, the sentence shall be satisfied and the probation cease.
- B. At any time during the probationary term of the person released on probation, any probation officer may, without warrant or other process, at any time until the final disposition of the case, rearrest any person so placed in his care and bring him before the court, or the court may, in its discretion, issue a warrant for the rearrest of any such person and may thereupon revoke and terminate the probation, if the interest of justice so require, and if the

B. (Continued)

court, in its judgment, has reason to believe that the person so placed upon probation is violating the conditions of his probation, or engaging in criminal practices, or has become abandoned to improper associates, or a vicious life.

- C. Upon the revocation and termination of the probation, the court may, if the sentence has been suspended, pronounce sentence at any time after the suspension of the sentence within the longest period for which the defendant might have been sentenced, but if the sentence has been pronounced and the execution thereof has been suspended, the court may revoke such suspension, whereupon the sentence shall be in full force and effect, and the person shall be delivered to the proper officer to serve the sentence.
- D. The court may at any time during the period of probation revoke or modify its order of suspension of imposition or execution of sentence. It may at any time, when the ends of justice will be subserved thereby, and when the good conduct and reform of the person so held on probation warrants it, terminate the period of probation and discharge the person so held, and in all instances, if the court has not seen fit to revoke the order of probation and impose sentence or pronounce sentence, the defendant shall, at the end of the term of probation, be discharged by the court.

Except in those cases for which mandatory prison sentences must by law be imposed, the Court may exercise its discretion in granting probation as provided for under ARS 13-1657. For a variety of reasons, the Court may find justice is best served by the granting of probation. In such cases, various terms and conditions shall be imposed upon the defendant by the Court where probation is granted. The terms and conditions imposed represent responsible patterns of behavior, such as maintaining employment, supporting all dependents and remaining a law-abiding citizen. These conditions of probation when continually reinforced, becomes habits that are carried on after probation is completed.

During the period of probation, the defendant and his conduct come under the supervision of the Court. That supervision becomes the responsibility of the probation department which serves as an arm of the Court.

PROBATION

Probation is an integral part of the Criminal Justice System. The concept of probation is relatively new, in that it began in the 1840's in Boston with the use of volunteers. Webster defines probation as an act of testing, when in more simple terms it is a process whereby the Courts allow a person convicted of a crime to serve his sentence while remaining in the community, given certain responsibilities. To correlate to Webster, it is a test to determine if in fact a person can remain in the community, with the alternative available for imprisonment or incarceration in the event that he fails.

The Maricopa County Adult Probation Department, like the Criminal Justice System, is a relatively new addition to the field. Prior to 1971 in Maricopa County no probation department existed, however, probation was in effect in that each of the Superior Courts in Maricopa County had a probation officer assigned. Prior to 1971, a situation existed whereby there were as many varying philosophies of probation as there were Courts and probation officers. In 1971 at the request of the Arizona Supreme Court, a study of probation services in Maricopa County was conducted, and from that study recommendations were made for departmentalization. From that starting point the probation department was developed to its present form and currently employs 106 persons, including 63 probation officers. Mr. Henry C. Duffie was appointed Chief Adult Probation Officer, and is responsible to the Presiding Judge of the Superior Court for providing the Courts with services required. One of the main reasons for departmentalization was to develop a unified probation system, and to allow objectivity and professionalism within probation as a system.

The Maricopa County Adult Probation Department is founded on the basic philosophy that the protection of the community and the community members is of primary and utmost importance, and that the rehabilitation of the offender is secondary to that primary need. In this regard it is noted that in dealing with cases, if a threat is constituted, either to persons or to property, and the magnitude of that threat is significant, that the probation department is responsible to insure that the Courts are so advised, and that some remedial action has been taken to protect the community. We of the Maricopa County Adult Probation Department are truly committed to the concepts of justice and probation, and work diligently and with adamant commitment to provide the most effective and efficient level of service to those people granted probation, with the end result hopefully that the community is served.

In review then, probation is considered an act of testing. We at the Maricopa County Adult Probation Department are responsible to the Superior Court to provide input and information to facilitate the sentencing of persons, and to monitor and supervise those persons granted probation. We are a part of the Criminal Justice System, we are a part of the community, and we are dedicated to making the community a safe place to live, while dealing with the problems of crime in today's society.

ADULT PROBATION DEPARTMENT STAFF

1976

CHIEF ADULT PROBATION OFFICER
Henry C. Duffie
ASST. CHIEF ADULT PROBATION OFFICER
Harold F. Carden
ADMINISTRATIVE ASSISTANT
William Pickens

ADMINISTRATIVE CLERICAL

Sara Carey, Supervisor
Cecilia Alvarado
Ruth Curtis
Jane Miller
Vicki Noland

* - LEAA funded position
** - CETA funded position

SPECIAL SERVICES UNIT

Gary Graham, Supervisor
Volunteer Services Officer - Jean Chechak
Staff Development Officer - Bruce Atkinson
*Employment Services Officer - Wade Hoffman
*Statistician - Terrie Krieg
**Administrative Aide - Sarah Recoskie

INVESTIGATIONS

Investigation Unit I

James Muth, Supervisor
Elizabeth Barkley
Richard Bertoli
James Hanosh
Walter Lide
Rupert Loza
Robert Tomten
Randall Walker
*Dennis Watterson

Investigation Unit II

Michael Hodge, Supervisor
Donald Baker
Edward Delci
Amanda Herman
Michael Jones
Herman Joseph
Von LaPrade
Michael Schallmann
Frank Vitaro

SUPERVISION

Supervision Unit I

Sal Fiore, Supervisor
Max Bessler
Dave Genova
Sam Hanna
Darby Jones
Kenneth Keating
Robert Loyd
Terry Ray
Basil Wiederkehr
*Janet Wolf

Supervision Unit II

James Ponczak, Supervisor
John Black
Barbara Glessner
Phil Havens
Joanne Hester
Barry Norris
Preston Parker
Thomas Peterson
Jack Watson
Ruben Young

Supervision Unit III

Neal Nicolay, Supervisor
Thomas Breidenbach
Jeff Brown
Tim Brown
Mary Durand
Armando Gandarilla
Mike Goss
Colleen Sealock
Ed Vall
Bill Young

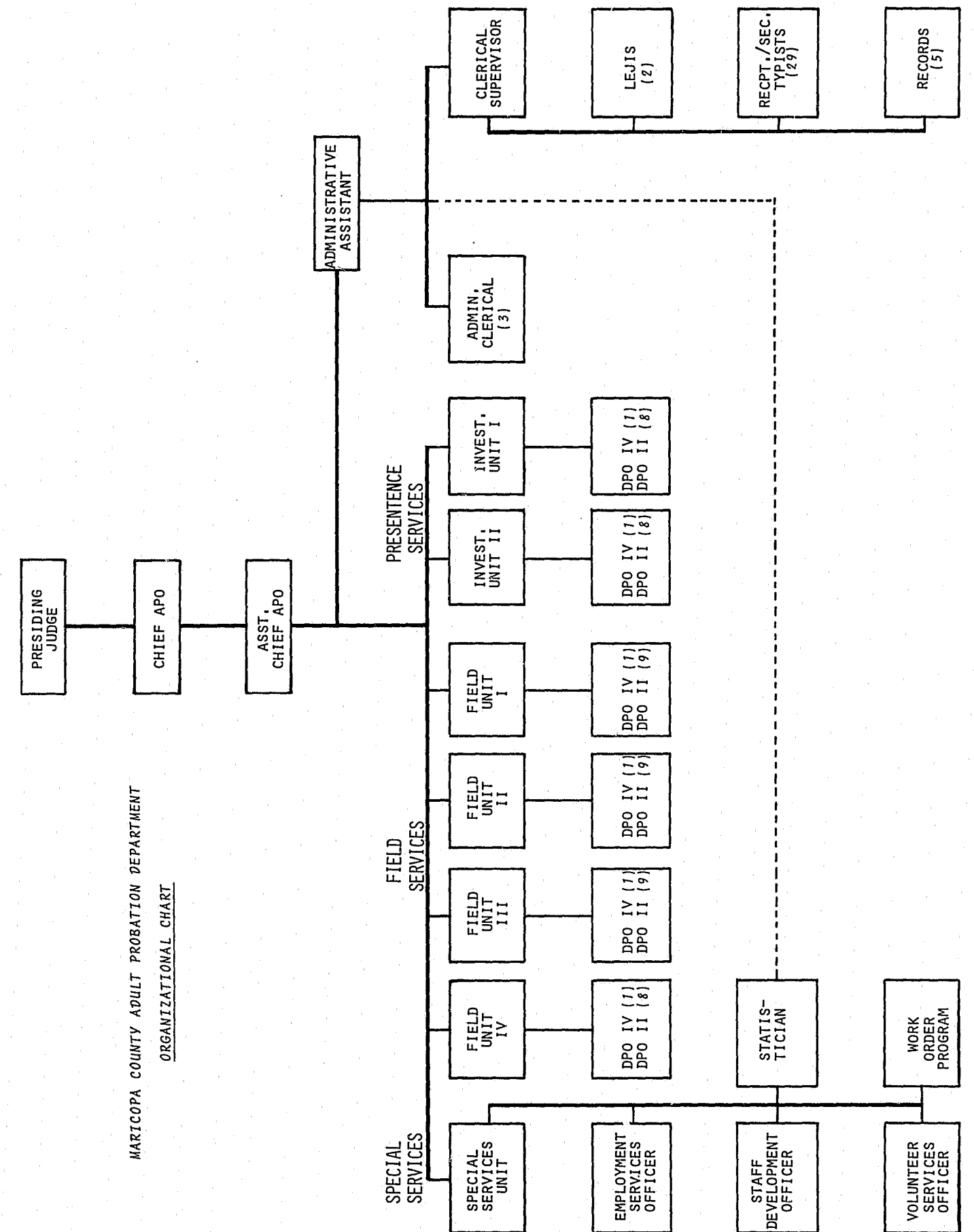
Supervision Unit IV

Gael Neugebauer, Supervisor
Edna Alfred
Jim Ernst
Bill Fitzgerald
John Jacobs
Charles Samuels
Robert Van Luchene
Randall Walker
Mike Wilson

CLERICAL STAFF

Lois Gugel, Supervisor

Jackie Aguayo	Maria Castillo	Judy Lopez	Rose Robles
Zana Alfieri	Karen Chart	Joan Miller	Helia Salmi
Nora Altamirano	Louann Eginton	Kathy Montoya	Marie Schlutow
Karen Andrews	*Sandy Ferguson	*Karole Nellis	Pat Titgen
Veronica Barbee	Elaine Hart	Joann Ondrajch	Kathy Tussing
Marsha Barry	Cathy Hill	Marcia Pettigrew	Joan Underwood
Brenda Cantwell	Gloria Kulwin	Michele Petsche	Mary Zaragoza
	Georgia Levario	Arcenia Ramos	



1976 - STATEMENT OF GOALS

The primary goal of the Adult Probation Department is to provide and deliver appropriate services to the Superior Court of Maricopa County in the most efficient and effective means possible. In an effort to increase both the efficiency and effectiveness of this delivery system, it was felt appropriate to designate areas for growth, and to set realistic and relevant goals to work towards in 1976. While the primary responsibilities of the department include presentence investigation and reporting, and supervision of persons granted probation, it was felt that the growth and development of the organization would further enhance the ability to meet these responsibilities. In this spirit then, the following were defined as goals for 1976.

I. Review and Improve Program Services and Systems

A. Systems Review

1. Update manual and policies
2. Streamline paperwork and procedures
3. Review clerical system
4. Review information and management systems
5. Improve computer printout

B. Volunteer Services

1. Increase use of volunteers

C. Projected Service Expansion

1. Resource development
2. Institutional probation officer
3. Decentralize

II. Expand Department Interaction

A. Communication

1. Improve department communications
 - a. Internal
 - b. External

Statement of Goals
Page 2

2. Maintain open door policy
3. Improve feedback
4. Increase participatory management
5. Involve line staff in goal evaluation
6. Hold total department meetings

B. Economic Conditions

1. Work to improve salaries and fringe benefits
2. Develop additional career opportunities within department

III. Expand Staff Development Services

A. Staff Development

1. Develop skills
 - a. Technical
 - b. Professional
2. Improve staff role awareness and clarify agency expectations
3. Increase staff recognition

The information and data which are contained in this report will represent and evidence the activities of departmental staff during 1976.

Presentence Investigation
Services

Duties and Responsibilities:

One of the primary responsibilities of the Maricopa County Adult Probation Department is the preparation of Presentence Investigations for the Superior Court.

After a defendant has been found guilty by a Jury or Court or entered a plea of guilty of an offense, he is referred to the Probation Department by the Court. An Investigating Probation Officer then makes a detailed study of the defendant's background, looking into such things as his employment history, prior arrest record, military history and family situation. The officer interviews the defendant, law enforcement authorities, victims, attorneys, and others involved in the case. When all information is collected and verified by the probation officer, the information is then compiled into a comprehensive written report for the Court.

An important part of the Presentence Report is the Probation Officer's evaluation of the information regarding the crime and the defendant, and the officer's recommendation to the Court for sentencing. The recommendation presented for the Court's consideration is a critical part of the total investigative process. The Court relies upon the abilities and judgement of the Probation Officer and the Adult Probation Department to present a fair and just evaluation and all circumstances that will, as much as is possible, insure sufficient information available to enable the Court to make a sound and fair decision as to sentencing. The safety of the community and rehabilitation of the offender are both considered, with the protection of the community of primary concern.

CALENDAR YEAR 1976

STATISTICAL REPORT

PROBATION SENTENCINGS

In 1976, a total of 2,338 adults were placed on probation in Maricopa County by the Superior Court. 94% of that number were seen prior to sentencing with a presentence investigation report being forwarded to the courts, while the remaining 6% were sentenced without benefit of a report. Of the total persons placed on probation, 88% or 2,052 were male and 12%, 286 were female.

Table I illustrates the comparison between 1975 and 1976 probation figures.

TABLE I

1975 - 1976

YEARLY COMPARISON *

	1975	1976	% CHANGE
P & S REPORTS SUBMITTED	3,626	3,543	- 2.3
DEFENDANTS SENTENCED	3,711	3,535	- 4.7
Felony	2,254	2,339	+ 3.8
Misdemeanor	1,457	1,196	- 17.9
PROBATION GRANTS	2,442	2,338	- 4.3
Felony	1,579	1,620	+ 2.6
Misdemeanor	863	718	- 16.8
PROBATION ALTERNATIVES	1,269	1,197	- 5.7
Prison	656	700	+ 6.7
County Jail	232	226	- 2.6
Others	381	271	- 28.9

* Calendar Year

As shown in Table II, data reflects that the most frequently appearing racial group for new probation grants in 1976 was Caucasian-American with 1,519 persons, or 65.0% of the grand total figure. Mexican-Americans accounted for 19.0% of the grand total, or 443 probationers, while Black-Americans summed to 314 or 13.4%. Indian-Americans numbered 51 or 2.2% of the grand total, and 11 or .4% were classified as other.

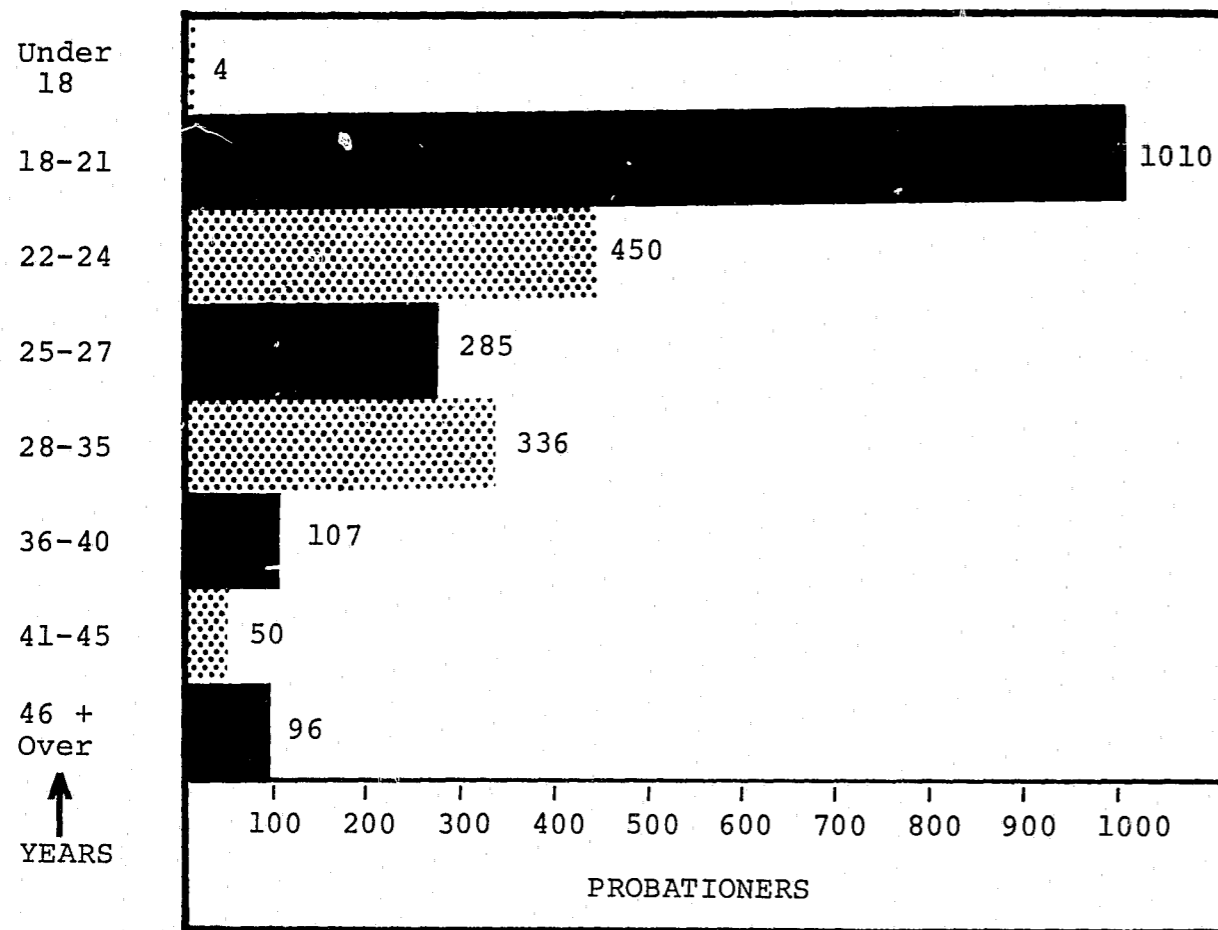
TABLE II

1976 PROBATION GRANTS

RACE	BY RACE	
	TOTAL	PERCENT OF GRAND TOTAL
Caucasian	1,519	65.0
Mexican	443	19.0
Black	314	13.4
Indian	51	2.2
Other	11	.4
GRAND TOTAL	2,338	100.0

Regarding the age factor of those who were granted probation during 1976, the largest number of probationers were in the age group of 18-21 years, a factor generally considered "normal" on a national basis. Numerically, the second largest number of probationers was 22-24 years of age, with 28-35 years following. A minimum number of adults 17 years of age were processed through the courts and placed on probation. See Figure I for a comparison of all age categories tabulated.

FIGURE I



In reviewing the offenses committed for the total number of new probationers in 1976, the data shows Burglary as the leading offense category. The offenses within this category include Burglary I and II with priors, Burglary Without Forced Entry, Straight Burglary, Aiding and Abetting Burglary, and Accessory After or Before the Fact.

There were 708 charges to Burglary handled by this department in 1976. This figure includes those defendants with multiple cause numbers and/or charges. Table III displays the general offense categories handled by the department.

FIGURE II

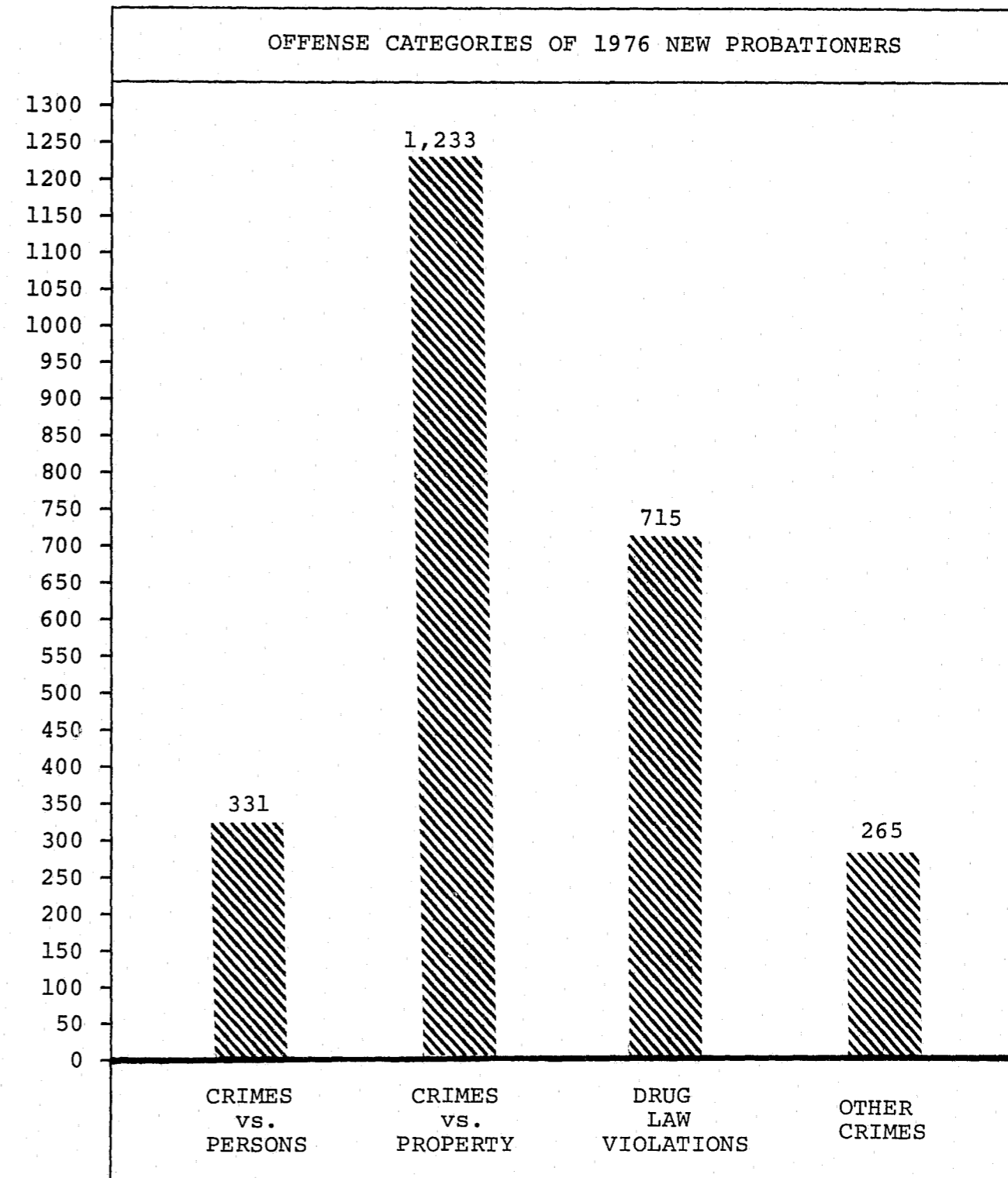


TABLE III

BREAKDOWN OF CRIME CATEGORIES
FOR 1976 NEW PROBATIONERS

- 2,338 Persons -

	1976	% OF TOTAL PERSONS
<u>CRIMES vs. PERSONS</u>	331	14.1
Murder	5	.2
Manslaughter	26	1.1
Robbery	83	3.6
Rape & Child Molesting	47	2.0
Kidnapping	5	.2
Assault & Battery	155	6.6
Others	10	.4
<u>CRIMES vs. PROPERTY</u>	1,233	52.7
Forgery - Con Game - Fraud	159	6.8
Grand Theft	105	4.5
Theft of Motor Vehicle	96	4.1
Petty Theft	87	3.7
Burglary	709	30.3
Arson	9	.4
Others	68	2.9
<u>DRUG LAW VIOLATIONS</u>	715	30.6
Possession of Marijuana	343	14.7
Possession of Other Drugs	194	8.3
Sale of Marijuana	45	1.9
Sale of Other Drugs	100	4.3
Others	33	1.4
<u>OTHER CRIMES</u>	265	11.3
D.W.I.	68	2.9
Conspiracy	43	1.8
Exhibiting Deadly Weapon	63	2.7
Obstructing	44	1.9
Others	47	2.0
TOTAL CHARGES	2,544	*
1976 PROBATIONERS	-2,338	100.0
MULTIPLE CHARGES	206	8.8

*Sums over 100% due to Multiple Charges.

FIELD SUPERVISION SERVICES

Duties and Responsibilities

The duties and responsibilities of a probation officer assigned to field supervision are varied and multipurpose. As a representative of the court, a field probation officer has the dual responsibility of providing protection to the community while resocializing convicted offenders so that they may be able to lead a productive life in the community.

These responsibilities, although simple in verbiage, are more than complex to implement. Out of these two seemingly easy tasks comes a myriad of responsibilities. Officers assigned to field supervision must be knowledgeable of all community resources and their use; must be adept in diagnosing their client's problems and implementing programs to meet their needs. They must have expertise in caseload management in order for them to cope with the ever rising caseload size and they must be flexible in adapting to the ever changing judicial policies and criminal statutes.

Additionally, field officers are responsible for conducting urine surveillance, enforcing all orders of the court, including financial orders, and bringing to the attention of the court those individuals who have failed to meet their probation obligations. Field officers are empowered to make grave decisions affecting the lives of their probationers by initiating revocation proceedings against those who have failed to fulfill the terms and conditions of their probation, and officers are called upon by the Judiciary for recommendations pertaining to those erring individuals when a sentence must be rendered.

In essence, the field probation officer's role is intricate and complex, and he or she is a wearer of many hats. They are called upon daily to act as a law enforcer, social worker, budget advisor, disciplinarian, and counselor to those who have been entrusted to them by the court.

Currently probation officers in the Greater Metropolitan area have caseloads of approximately 90 probationers they are required to supervise and provide services for. The vast majority of cases are considered to receive "standard supervision," however, a number of specialized caseload services are also provided. The following represents the areas of specialization.

INTENSIVE SUPERVISION CASELOADS

Among the population of individuals granted probation by the courts are some who, as a result of serious problems related to drugs, alcohol, and mental health, are recognized as greater risks to remain as law-abiding citizens and successfully complete probation. The problems inherent with the drug addict, alcoholic, and mentally defective probationer are such that they require higher levels of supervision than can be afforded in the standard, large caseload.

Cases warranting considerable supervision and support are assigned to probation officers who comprise the Intensive Supervision Team. The team, assigned to supervise these special cases in a prescribed area within the Phoenix city limits, is comprised of five officers, two responsible for the supervision of drug caseloads, two for alcohol caseloads, and one for a mental health caseload.

Specializing to effectively deal with the compound and complex problems of the addict, alcoholic, or mentally disturbed the respective officers provide maximum supervision to their caseloads, which are reduced in numbers to one half the average size. Through effective in-depth caseload management, and extensive utilization of treatment programs at all available community resources, the Intensive Supervision Team allows for greater surveillance and supervision, as well as the implementation of more individualized treatment modalities.

OUT-OF-STATE CASELOAD

The Out-of-State caseload coordinates the probation services and supervision of the nearly 400 individuals granted probation by the Superior Court of Maricopa County who have been allowed to reside in another state. The coordination of probation services requires the assigned probation officer to establish professional relationships with not only the local Interstate Compact Office, but parole and probation offices in a number of other states. Persons granted permission to reside outside of Arizona must meet certain requisites including verified employment opportunities and confirmed familial situations in the receiving state. The duties of the assigned probation officer are supplemented by supportive clerical and volunteer staff, due to the excessive numbers in this category and the inherent responsibilities of establishing meaningful probationary services.

Nearly 400 individuals are currently assigned to the Out-of-State caseload, and the development of meaningful probationary programs is the singular responsibility of one officer, with the assistance of ancillary staff. Additional responsibilities include decisions involving requests for probation violation warrants, extradition determinations, testimony and preparation of Probation Violation reports, including sentencing recommendations for the court.

The majority of persons assigned to the Out-of-State caseload receive direct supervision by probation staff in their state of residence under the auspices of the Interstate Compact agreement, while some maintain direct contact with this department. In all instances the probationer remains responsible to abide by the terms of probation imposed by the court and is accountable to this court for any actions not in compliance with those terms.

OUT-OF-COUNTY CASELOAD

The Out-of-County caseload coordinates and provides the probationary services and supervision for the probationers responsible to the Superior Court of Maricopa County, who reside outside of the county itself. There are currently approximately 140 cases of probationers residing in other counties, who receive direct probationary services in the counties in which they live. Reciprocal courtesy agreements exist with probation departments in all other counties of the state, allows for more intensive case work supervision thus facilitating a successful probationary program.

REPORT ONLY CASELOAD

The Report Only caseload (i.e., minimum supervision caseloads) was established to monitor the probationary period of those cases which the field officers felt were not in need of active supervision, thus giving the field officers more time to work with their active cases. The Report Only Deputy has an initial face to face meeting with the probationer, and then monitors his probationary status by means of monthly reporting in writing by the defendant. The officer also initiates future personal contacts with the probationer if he becomes delinquent in reporting, or becomes reinvolved in criminal activities.

The Report Only caseload handles approximately 300 cases, receiving 30 to 40 new cases each month from the field officers and successfully terminates approximately the same number each month. There are very few violations in this caseload due to the fact that the probationers are carefully screened by both the field officers and the Report Only officer prior to being placed on the caseload.

In summation, the Report Only caseload is a viable alternative to the high number of probationers the field officers have to supervise, and is also an alternative utilized by the courts for minimal supervision of defendants.

CONTINUING PROBATION POPULATION

During 1976, the total number of persons on probation to the Maricopa County Adult Probation Department continued to increase. As of December 31, 1976, the department was responsible for 3,809 persons on probation. Table IV indicates the comparison of data relative to the probation population over a one year period, with indications of percentage change.

TABLE IV
PROBATION WORKLOAD
1975 - 1976
CALENDAR YEAR COMPARISON

	<u>1975</u>	<u>1976</u>	<u>% CHANGE</u>
SUPERVISION CASELOAD			
TOTAL	3,680	3,809	+ 3.5
In-County	2,481	2,648	+ 6.7
ROC	272	308	+ 13.2
OOC	160	137	- 14.4
OOS	443	390	- 12.0
Warrants	294	297	+ 1.0
Courtesy	30	29	- 3.3
<hr/>			
TOTAL CASELOAD			
Felonies	3,159	3,350	+ 6.1
Misdemeanors	521	459	- 11.9
<hr/>			
RESTITUTION PAID	\$130,036.00	\$186,662.36	+ 43.5

The In-County caseload, with 2,648 probationers, represents those individuals who reside within Maricopa County and were under probation supervision. Included in this figure were cases classified in need of Intensive Supervision. Additionally, 29 persons were supervised by the Maricopa County Adult Probation Department who were on probation in another county, however, reside in Maricopa County.

The Out-of-County caseload of 137 probationers represents those persons who were granted probation by the Maricopa County Superior Court, but who were allowed to reside in a county other than Maricopa. 390 probationers who had been granted permission to reside in another state, while being responsible to the Maricopa County Adult Probation Department, were assigned to the Out-of-State caseload for supervision services.

The Report Only caseload had 308 probationers assigned. Probationers were required to report their activities to the probation officer via monthly status reports outlining their work and family situations.

The last segment of the ongoing probation population consisted of those probationers, totaling 297, for whom Probation Violation warrants had been issued by the court for their arrest. Warrant cases are retained until subsequent action is taken by the court and are, therefore, included in the total probation population figure of 3,809.

Table V is a breakdown by sex of the total probation population's racial distribution. As shown, the largest racial group consisted of Caucasian-Americans with 2,624 probationers, or 69.0% of the grand total figure. Mexican-Americans accounted for 15.2% of the grand total, or 580 probationers, while Black-Americans summed to 519, or 13.6%; Indian-Americans numbered 66, or 1.7% of the grand total, and 20, or .5%, were classified as other. Also of interest was the large discrepancy between males and females on probation. 87.5% of the total probation population were male, with only 12.5% females.

TABLE V
PROBATION POPULATION BY
RACE AND SEX

	<u>MALE</u>	<u>FEMALE</u>	<u>ROW TOTAL</u>	<u>% OF GRAND TOTAL</u>
Caucasian	2,277	347	2,624	69.0
Mexican	544	36	580	15.2
Black	441	78	519	13.6
Indian	57	9	66	1.7
Other	14	6	20	.5
<hr/>				
TOTALS	3,333	476	3,809	100.0

The continuing growth of the probation population is of primary concern to the Adult Probation Department. It is anticipated that the increases and growth of the probation population will continue, exerting ever increasing responsibilities upon existent staff and available resources to maintain the levels of supervision and services demanded by the clients and the Court.

1976 Probation Terminations

There are three general categories of terminations from probation: Early termination, expiration, and revocation.

Early termination of probation is defined as termination of probation before the expiration of the assigned length of the term. This type of termination is given to those individuals who display good behavior and abide by the rules of their probation, individuals sentenced to prison terms in another state, or persons who die while on probation. For 1976, 941 clients, or 43% of the total probation terminations within the department, received an early termination of probation from the Maricopa County Superior Court (see Figure III).

Expiration of probation occurs when a client's probation term is completed in full, and the probation period is finished on the date specified by the Court. The department had 933 expirations in 1976, 43% of the total probation terminations for the year.

Probation is revoked by the Court when a defendant's conduct has not complied with the rules and regulations of probation. Last year the Court revoked probation for 305 individuals, 14% of the total terminations within the department. 265, or 87% of the probation revocations were revoked to the Arizona State Prison. 40, or 13% of the revocations were revoked to the County Jail.

The department's violation rate was obtained by taking the beginning probation figure of 3,680 from December 31, 1975, and adding the total new cases assigned for supervision during the 1976 calendar year, which was 2,338, for a total of 6,018. This grand total represents the number of individuals supervised during the 1976 year. By taking the 897 petitions for revocation submitted to the Court in 1976, and dividing that figure by the total number of probationers supervised (6,018), a violation rate of 15% was arrived at. Of the 897 petitions submitted, only 683 individuals appeared in court (the difference resulting in outstanding warrants of sentenced in absentia), 11% of the total cases supervised. As detailed in Table VI, of those appearing in Court, 305 persons were found in violation of their probation by the Court and were revoked, 40 to the County Jail and 265 to Arizona State Prison. The remaining 378 persons found in violation of their probation appeared in Court and had their probation reinstated, 218 with County Jail or other added conditions, and 160 were reinstated with no additional conditions.

FIGURE III

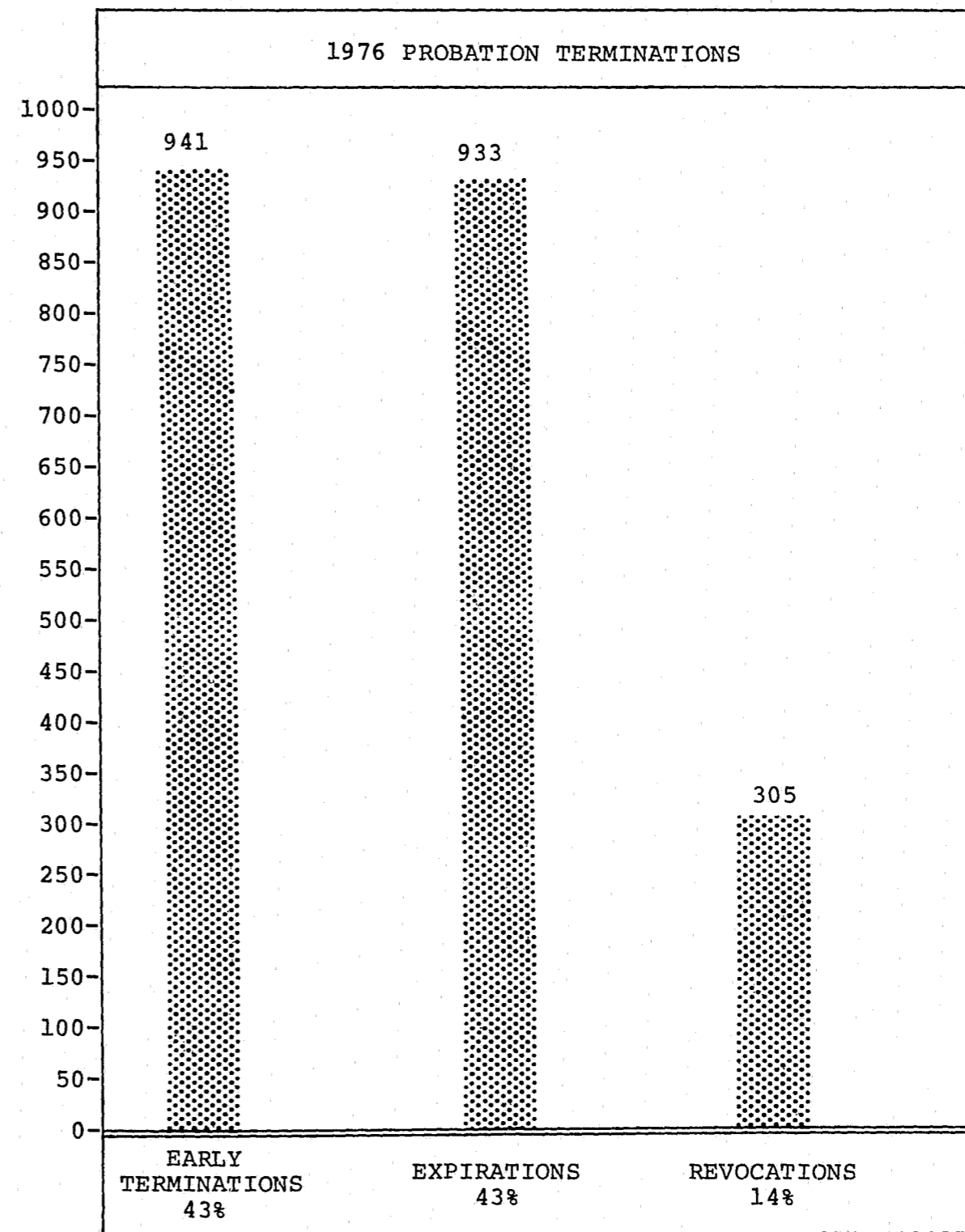


TABLE VI
COMPARISON OF
PROBATION REVOCATIONS FOR
1975-1976 CALENDAR YEARS

	<u>1975</u>	<u>1976</u>	<u>% CHANGE</u>
Revocation Requests	813	897	+ 10.3
Violation Reports	653	683	+ 4.6
Total Revoked	298	305	+ 2.4
Revoked w/Jail	55	40	- 27.3
Revoked to ASP	243	265	+ 9.1
Total Reinstated	356	378	+ 6.2
Rein. w/Jail	194	218	+ 12.4
Rein. w/No Terms	162	160	- 1.2

SUPPORT SERVICES

While the primary objective of the department is to provide services to the court, the delivery of these services are enhanced by the existence of a number of supportive services. A Special Service Unit exists which includes programs for the use of Volunteers, Staff Training and Development, Probationary Employment Services, and the Work Order Program. Additional support services include the departmental Statistician as well as the Clerical Services upon which the department is dependent. The following represents the varied duties and responsibilities of each of the support services described.

VOLUNTEER SERVICES

The Adult Probation Department would not be able to provide the full services it offers without the help of approximately 100 community spirited volunteers who generously give their time and energies. The Volunteer Services Officer coordinates the department's Volunteer Program which began, and has grown steadily, since the fall of 1972.

Our volunteers, both men and women of all ages and backgrounds, work in every area of probation services. Some assist in gathering data for presentence investigations, while others aid field officers in supervising probationers on their rising caseloads. Many have special roles, such as counselors, tutors, resource developers, clerical aides, and so forth.

In 1976 our volunteers reported 7,781 hours of their time donated, and 3,154 direct contacts with probation clients. Each month orientation and training sessions were conducted for incoming volunteers, which was followed up by individualized, ongoing training by staff.

In addition to assisting with training of volunteers, several staff members met regularly with the Volunteer Services Officer throughout the year to plan and help organize several projects and events. Among them were the recruitment of Spanish speaking volunteers, local army reservists, and air force officers to work with probationers in outlying areas and jails. Other special projects included the collection of books for probationers confined in jail and food, toys, and clothing for indigent probationers' families. Another committee of staff and volunteers worked together to publish a monthly newsletter which serves to inform the public about the department.

The Volunteer Program both generates new ideas for improved client services, and provides the manpower for implementation of these programs within the department.

STAFF DEVELOPMENT SERVICES

Professional services can come only from an agency staffed by competent personnel. The staff development office helps insure that new staff members receive the preparation needed to assume productive roles in the Department, and that all staff members are assisted in their professional development.

During 1976 each new staff member, as well as new volunteers and criminal justice interns, were given individually designed training and orientation programs. In-service training programs were also provided, as well as transfer training for officers changing job assignment.

The Staff Development Committee provides a major vehicle for staff involvement in training. This year the committee grew to include a representative from each of the units as well as from support services. The role of the committee was clarified, regular meetings were held, and the committee assumed a more active role in staff development.

Numerous public relations and community information services were performed by this office over the year. Members of the Speakers' Bureau spoke before nearly 2,000 people, and an informational pamphlet, describing our work to the public, was widely circulated. Personal responses were written to the many inquiries that come in every year about employment possibilities and about probation in general.

The Staff Development Office has worked to provide staff with programs they wanted and would enjoy, and at the same time, provide training in areas where it was most needed.

We begin 1977 much better prepared and more confident of our ability to provide Staff Development Services to the Department and can also look back on 1976 as a year in which many valuable services were given.

EMPLOYMENT SERVICES

The Employment Services Office of the Maricopa County Adult Probation Department was born out of an Arizona State Justice Planning Agency grant designed to provide a comprehensive employment program to direct and assist individuals on probation in job placement. The major premise behind the grant recognizes that unemployment is a significant factor in the problem of recidivism.

The Employment Services Office serves the needs of unemployed probationers in Maricopa County who seek employment assistance. The ongoing and expanding need for assistance was evidenced this past year by both the increase in probationer population and the high unemployment rate.

To accommodate the demand for services and meet the needs of the unemployed offender, during the year the Employment Services Office developed the "JAWS" Program (Jobs Are Won Successfully). "JAWS" puts the emphasis on assisting probationers to be competitive in the job market through awareness and preparedness. Preparing an offender to "win" a job for himself, and developing opportunities in employment, vocational training, and education are the major goals of the program.

The "JAWS" Program emphasizes an active, aggressive approach to job search and devotes special consideration to the application and interview processes with particular attention to the specific problems of the offender. During the year 825 individuals on probation availed themselves of employment services. A total of 465 individuals were directly referred to opportunities developed by the Employment Services Office, and 150 probationers were hired as a direct result of these referrals.

The success of the program is directly related to the concern and support of the many community organizations, agencies, and employers who have worked cooperatively in a concerted effort with the Employment Services Office. It is expected that with this continued support and the projected increase in opportunities for employment in Maricopa County, the future looks even brighter for 1977.

WORK ORDER PROGRAM

The W.O.P. is a specific condition of probation, or a sentence for terminal disposition, imposed by the Court in lieu of a fine and/or incarceration, and is reserved for the individual who demonstrates a good attitude, is cooperative and willing to participate in the program and thus preventing financial hardship on himself and his family.

Being assigned to the W.O.P. is an aid to the defendant, in that it allows him to remain in society and continue a normal life style, at the same time assisting the community with a much needed voluntary service.

Defendants assigned to the program are placed in agencies where they will carry out specific voluntary duties, and must treat the assignment with the same respect as that of a paid job. The type of agencies used for assignments are mainly Community Action Programs, Youth Service Bureaus, Parks and Recreation areas, and Drug and Alcohol Rehabilitation Centers.

During 1976 a total of 118 persons were ordered into the W.O.P., of which 49 were successfully completed, and 6 removed unsuccessful, leaving a total of 63 persons currently assigned to the program. A total of 5,377 voluntary hours of service were given to assigned agencies during 1976.

STATISTICIAN

The Statistician for the Adult Probation Department is involved with the tabulation of all Departmental records, manually, and in conjunction with the computer utilized by the Department via LEJIS. An updated monthly report, and an annual report are generated by the Statistician for administrative use. The Statistician also works on special projects related to probation and its functioning.

SPECIAL STUDIES AND PROJECTS

The Adult Probation Department Statistician along with an A.S.U. Intern and secretary, was involved in research on various projects during the 1976 year. Some of the more pertinent ones are described as follows.

1. PREVIOUS FELONY CONVICTIONS FOR 1974 AND 1975 PROBATION GRANTS - The aim of this study was to compare the total number of persons given probation for a felony in 1974 and 1975, to those persons given probation (within the same time frame) who had previous felony convictions. Table I, below, displays the results of the research.

TABLE I
PREVIOUS FELONY CONVICTIONS

YEAR	TOTAL FELONY PROBATION GRANTS	NO. OF GRANTS WITH PRIOR FELONIES	% PRIOR FELONY GRANTS TO TOTAL
1974	1,582	312	19.7
1975	1,579	306	19.4
TOTALS	3,161	618	19.6

2. RECONVICTIONS FOR FELONY PROBATION TERMINATIONS 1974, 1975 AND 1976* - The purpose of this study was to establish the number of persons that expired or terminated early from a felony probation grant in 1974, 1975 or 1976*, and subsequently re-entered the system via a new felony conviction(s). Data used was restricted to reconvictions within the Maricopa County Superior Court due to unavailability of information from other counties or states. Table II displays the results of the research.

Totally, out of 603 expirations from a felony probation grant(s), (1974, 1975 and 1976*) there have been 24, or 4%, return to the Maricopa County Superior Court System, with a new felony and/or open-end conviction(s) as of November 1976.

Out of 1,542 early terminations from a felony probation grant(s), (1974, 1975 and 1976*) there have been 35, or 2%, return to the Maricopa County Superior Court System, with a new felony and/or open-end conviction(s) as of November 1976.

TABLE II
PERCENTAGE OF RECONVICTED PERSONS TO FELONY PROBATION TERMINATIONS

FELONY PROBATION TERMINATIONS	RECONVICTED PERSONS			TOTAL PERSONS RETURNED	% OF COLUMN I
	1974	1975	1976*		
1974 Expirations 139 Persons	2	6	5	13	9
1974 Early Terms. 410 Persons	1	9	8	18	4
1975 Expirations 176 Persons	0	2	3	5	3
1975 Early Terms. 509 Persons	0	5	12	17	3
1976* Expirations 288 Persons	0	0	6	6	2
1976* Early Terms. 623 Persons	0	0	0	0	0

*To November of 1976 only.

3. RESIDENCY STATUS OF OUT-OF-STATE PROBATIONERS WITH ACTIVE WARRANTS - The purpose of this study was to answer the question: "Can it be shown that of the active warrants (for the OOS Case-load,) more persons are non-Arizona residents than Arizona residents?" Residency in the study was arbitrarily defined as: The attendance in Arizona schools and/or habitation by family and/or probationer for at least three years prior to the offense resulting in probation to the Maricopa County Adult Probation Department.

As of October 31, 1976, the cut-off date for the study, there were 73 OOS warrants active. Of these, eight were pending, 6 (75%) were non-residents, and 2 (25%) were residents. From the remaining 65 (73 total - 8 pending) warrants, 49 or 75%, were found to be non-residents. 16 or 25%, were Arizona residents. Table III gives a further break-down by sex of the results.

TABLE III
OUT-OF-STATE WARRANTS
BY RESIDENCY AND SEX

ACTIVE WARRANTS (65)				PENDING WARRANTS (8)			
NON-RESIDENTS		RESIDENTS		NON-RESIDENTS		RESIDENTS	
M	F	M	F	M	F	M	F
43	6	14	2	5	1	2	0

CLERICAL SUPPORT SERVICES

The efficient functioning of the Adult Probation Department is dependent upon personnel and services of the departmental clerical services. From the typing of court reports to the specialized secretarial assignment and voluminous record maintenance responsibilities, clerical services carry out the invaluable support functions necessary to allow probation staff and the organization as a whole to operate effectively.

The functions of clerical are numerous. The departmental typing pool typed 3,543 presentence investigation reports during 1976, as well as 488 probation violation reports. In addition, the clerical workload included the typing of countless miscellaneous reports, chronological case entries, forms, letters, and memorandums. Records and files on all persons referred to the department from the court were initiated, kept active and destroyed on an ongoing basis with imperative accuracy. Also all incoming and outgoing communications and correspondence, including telephone, mail, computer, and reception duties were performed by clerical personnel.

In short, the services of the department's clerical and support personnel were demanding, yet invaluable to the department.

REVIEW OF GOALS - 1976

As indicated previously goals were formulated at the outset of the year, with the following representing a review of progress made toward those goals.

I. Review and Improve Program Services and Systems

A. Systems Review

1. Update manual and policies

During 1976, the staff manual was revised and completely updated. Further assignments were given to staff personnel along with the responsibility of ongoing upkeep.

2. Streamline paperwork and procedures

Efforts were made throughout the year to reduce the flow of paperwork and to expedite the flow of work within the department. With the continuous development of the LEJIS system additional statistical and logistical burdens were decreased.

3. Review clerical system

The ongoing review of the clerical system culminated in the development of a clerical manual, defining clerical procedures and culminating in an improved management of the clerical work process.

4. Review information and management systems

5. Improve computer printout

The ongoing conversion to a systematized and computerized format has great definitive in the entire Management Information System. In addition, a computer committee was designated within the department to facilitate information dispersal and feedback regarding the system.

B. Volunteer Services

1. Increase use of volunteers

At 1976's end, nearly 100 full-time volunteers were involved with staff at all levels in the organization. An active volunteer

has assisted in defining selection criteria, orientation formats and ongoing training for both staff and volunteers, enhancing the effective use of volunteers. A concerted effort has been exerted to identify needs and to develop a truly supporting service.

C. Projected Service Expansion

1. Resource development

The development of resources has been an ongoing process, with a number of potential resources soon to bear fruition, especially in the area of employment procurement. Additionally, an in-house VA outreach worker has been made available and a community resources handbook updated and provided for all staff.

2. Institutional Probation Officer

In cooperation with the Maricopa County Sheriff's Office, attempts were made to procure funding for an Institutional Probation Officer. The funding request was not approved, however, the value and desirability of an Institutional Probation Officer is still significant.

3. Decentralize

Formal decentralization has not occurred due to budget restrictions and Administrative restrictions. However, two "store fronts" have been added during the year and should assist in evaluating future planning in the area of decentralization. Currently, store front operations are continuous in Scottsdale, North Phoenix, Glendale, and South Phoenix.

II. Expand Department Interaction

A. Communication

1. Improve department communications

- a. Internal
- b. External

There have been concerted efforts to increase the avenues of communication and enhance the interaction amongst staff as well as with other public and private agencies. Of note has been our departmental Speakers Bureau who have talked to numerous groups and organizations

regarding the department. Additionally, a good working relationship has been developed with the County Attorney, Sheriff's Department, local police departments, and other like agencies.

2. Maintain open door policy

The open door policy has been maintained allowing any staff member or concerned citizen to discuss any issue relating to our department or to our clients. This policy will continue to exist and to be available at all times.

3. Improve feedback

As indicated, the avenues for communication have been developed, with a consistent request that all levels of staff make known their questions and identify areas of concern. The feedback is in reality a two-way communication and has been strongly encouraged.

4. Increase participatory management

In almost all decisions relatively to the department, input has been solicited from all of us prior to a final decision. Recognizing that decisions must ultimately be made, the concept of participation in determining those decisions has been evidenced.

5. Involve line staff in goal evaluation

All levels of staff have been asked to participate not only in the evaluation of goals, but in the formulation of those goals. It is recognized that all levels in the organization must be a party for goals to be meaningful, and for goals to be achieved.

6. Hold total department meetings

Meetings were held with all staff, addressing a number of issues and problems of continuing concern. Generally, however, such problems were reviewed and resolved via direct, interpersonal communication.

B. Economic Conditions

1. Work to improve salaries and fringe benefits

While an ongoing concern of the entire agency's salaries were improved during the year, in some instances significantly, the

obtainment of additional benefits for all staff continues to be a priority item and one which receives much attention.

2. Develop additional career opportunities within department

A "career ladder" was conceptualized during 1976 with classification of professional staff broadened to allow internal mobility. In the Clerical and Support Services a number of new openings were made available through reclassification and upgrading of existent positions.

III. Expand Staff Development Services

A. Staff Development

1. Develop skills

- a. Technical
- b. Professional

During the year workshops and seminars, as well as individualized training, were provided in a number of technical and professional areas. Based on the identification of needs, relevant and applicable training was reviewed and whenever possible, provided.

2. Improve staff role awareness and clarify agency expectations

A departmental training committee functioned throughout 1976 and had as a primary responsibility the identification of needs and assimilation of information in determination of staff development needs.

3. Increase staff recognition

While not specifically addressed, the Staff Development services through the recognition of staff was created through the Administrative section within the department.

As has been indicated, significant progress was made during 1976 in those areas identified as department goals. The majority of the stated goals are in fact ongoing, and efforts should continue in the areas listed above.

PROBATION - A CHANCE TO CHANGE

Our community, like every other community in America, faces an ever growing problem of crime. As monumental as the problem of crime, however, is the issue of what to do with those persons convicted of crime. Imprisonment is one alternative, however, it is not a panacea. In our society's continuing efforts to deal with those convicted of crime, the concept of probation has been viewed as yet another alternative.

A person who is granted probation by the court, in lieu of incarceration or imprisonment, is in effect given a chance by the court to modify or change their behavior while remaining in the community. A person's remaining in the community, on probation, is conditional upon his adhering to a set of rules and restrictions imposed by the court. These rules are reflective of responsible levels of behavior, and a person on probation is accountable to the court to abide by those rules with failure to do so possibly leading to the eventuality of imprisonment. The Adult Probation Department of the Superior Court of Maricopa County is that agent of the court which provides information to assist in the determination of those persons who are to be granted probation and is likewise the agent of the court which insures that a person is abiding by the rules of conduct imposed by the court.

The vast majority of persons convicted of crimes in the Maricopa County Superior Court are referred to the Adult Probation Department for the development of a comprehensive report prior to a determination of sentence. This report, the presentence investigation report, is prepared by a Deputy Adult Probation Officer and includes information relative to the crime and to the person who committed that crime. In the course of investigation, victims and police are contacted to elicit their input and recommendations, as are others who evidence an interest in the case. A person's prior criminal record is obtained and a comprehensive social history is obtained and verified, including employment history, educational achievement, drug and alcohol abuse, as well as other social data. The culmination of this investigation is the preparation of the presentence investigation report in which all relevant information is presented. This report is provided to the court, and is reviewed and considered by the judge who will, in his singular discretion, determine the sentence to be imposed. The most common sentence imposed by the courts is probation which may include requirements for restitution, time in jail, participation in a specified rehabilitation program, or any of a number of conditions which are felt necessary to insure the public safety while secondarily assisting the person receiving probation. As indicated above, the

court, in granting probation, imposes certain restrictions and requirements which must be met if the person is to remain in the community.

Those persons afforded the "chance to change" through probation are responsible to the courts via the Adult Probation Department. Each person granted probation is assigned to a Deputy Adult Probation Officer who is responsible to insure that the person is abiding by the conditions imposed by the court, and to assist the person in achieving and maintaining responsible levels of behavior. This assistance is in the form of counseling and referral to resource agencies for problems such as marital counseling and drug or alcohol therapy. Additionally, the probation department maintains an Employment Services Office where persons on probation can be directed for possible job training or employment referral.

Those persons who abide by the conditions of probation receive a legal discharge from the court after successful completion of their probationary period. Those who fail to abide by the rules, or who reinvolve themselves in criminal activities, are returned to court by the probation officer where their probation may be revoked and they may be imprisoned.

The role of a probation officer is one of tremendous responsibility, and one that requires the support of the community. Currently, nearly 100 members of the community donate their time and energies to the program, via the Volunteer Services Office of the department, and provide invaluable assistance to the staff and to those on probation.

As with prisons, probation is not a panacea, only an alternative. It is an alternative, however, which involves the entire community and which can succeed only if the community is willing to extend itself to say that given the "chance to change," people can.

ANNUAL REPORT - 1976

Prepared By

SPECIAL SERVICES

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